

FIG 1

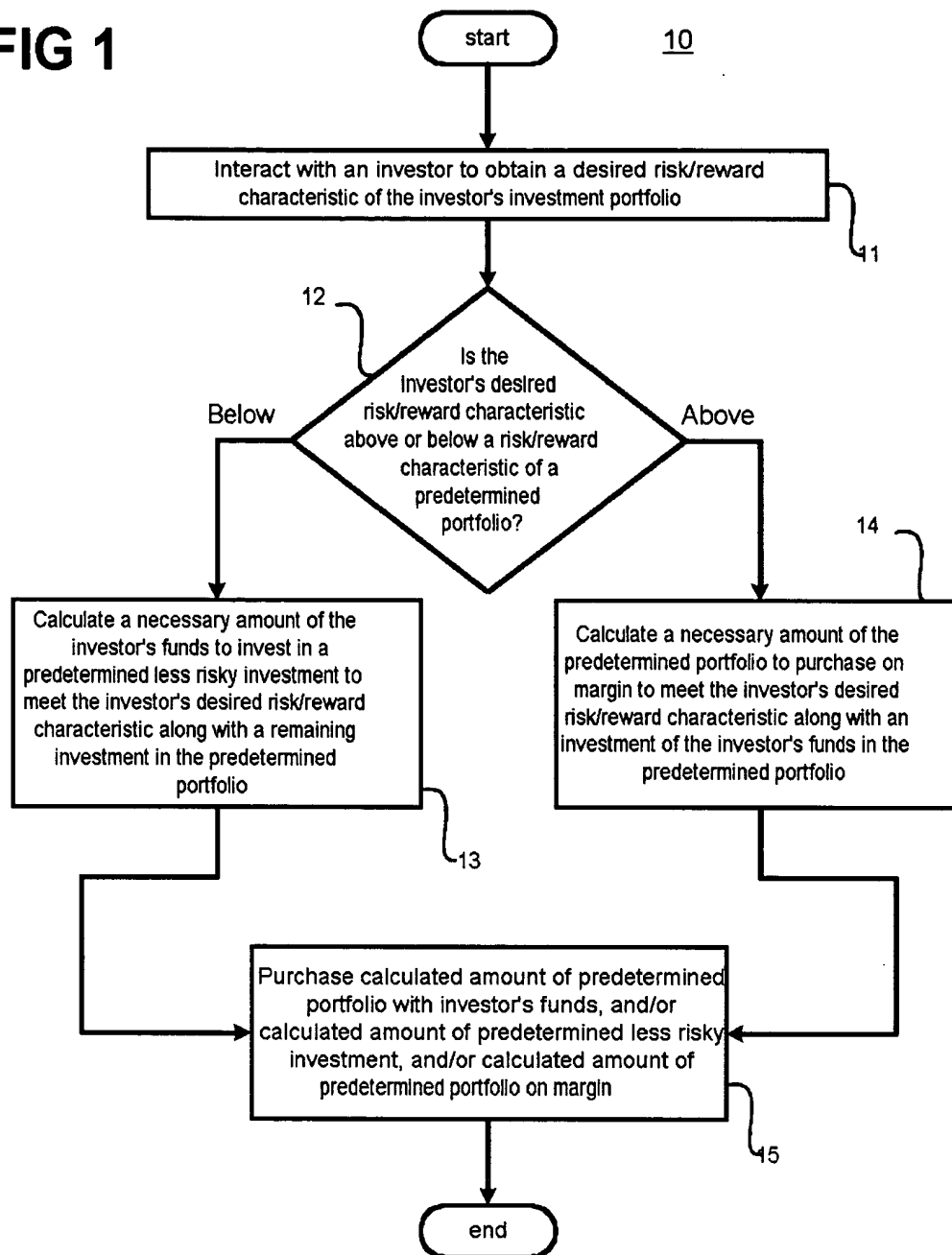
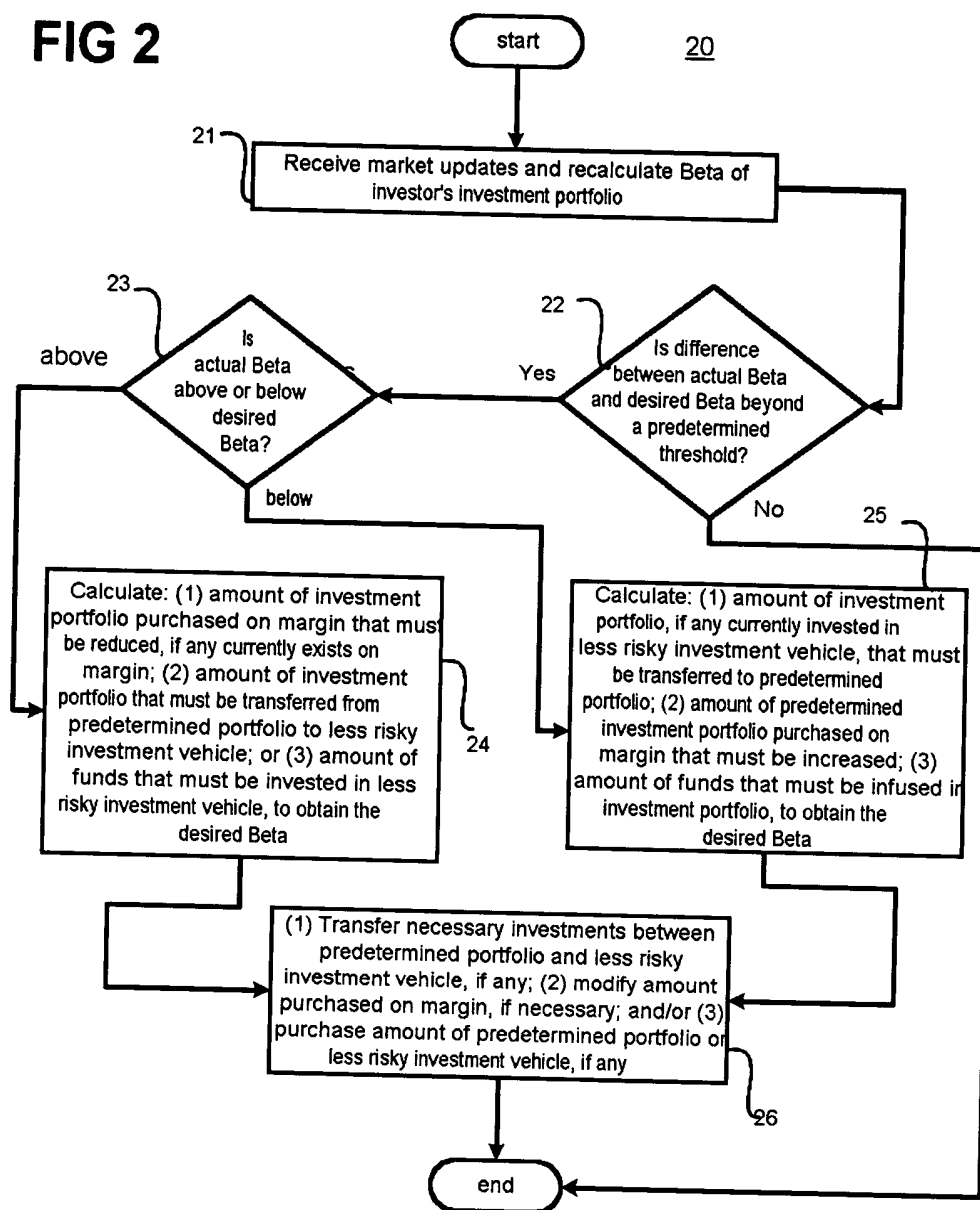


FIG 2



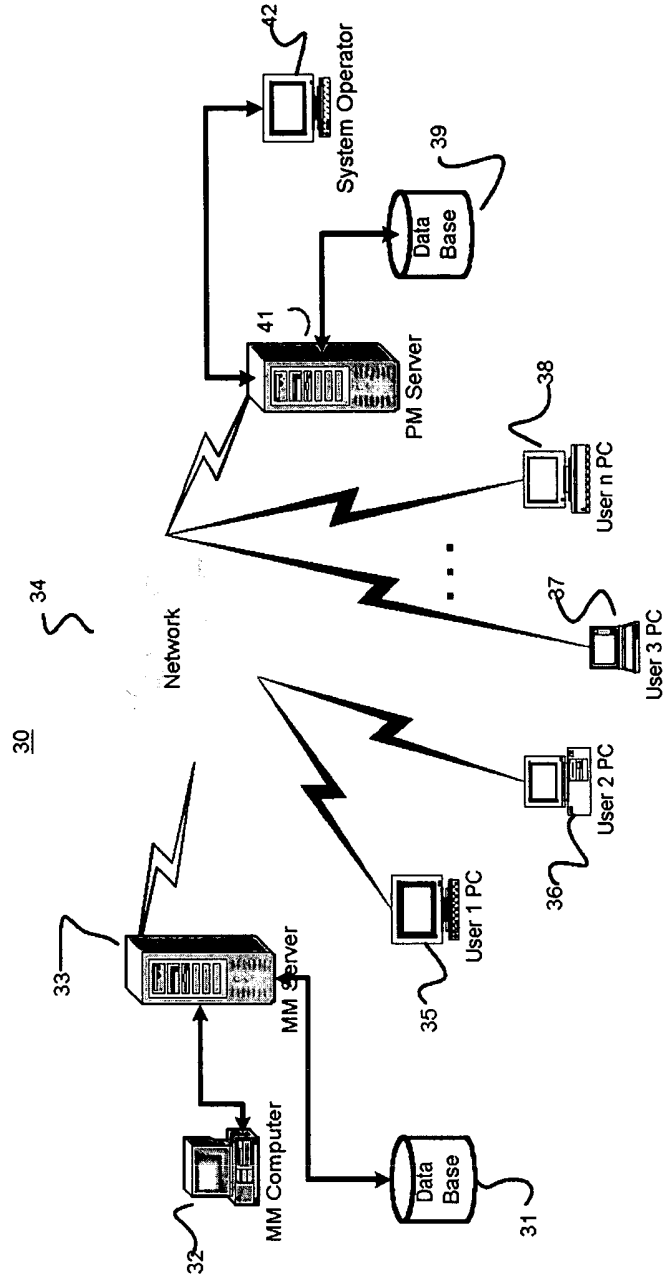


FIG 3

FIG 4 -- Leverage Slider, Create A New Folio

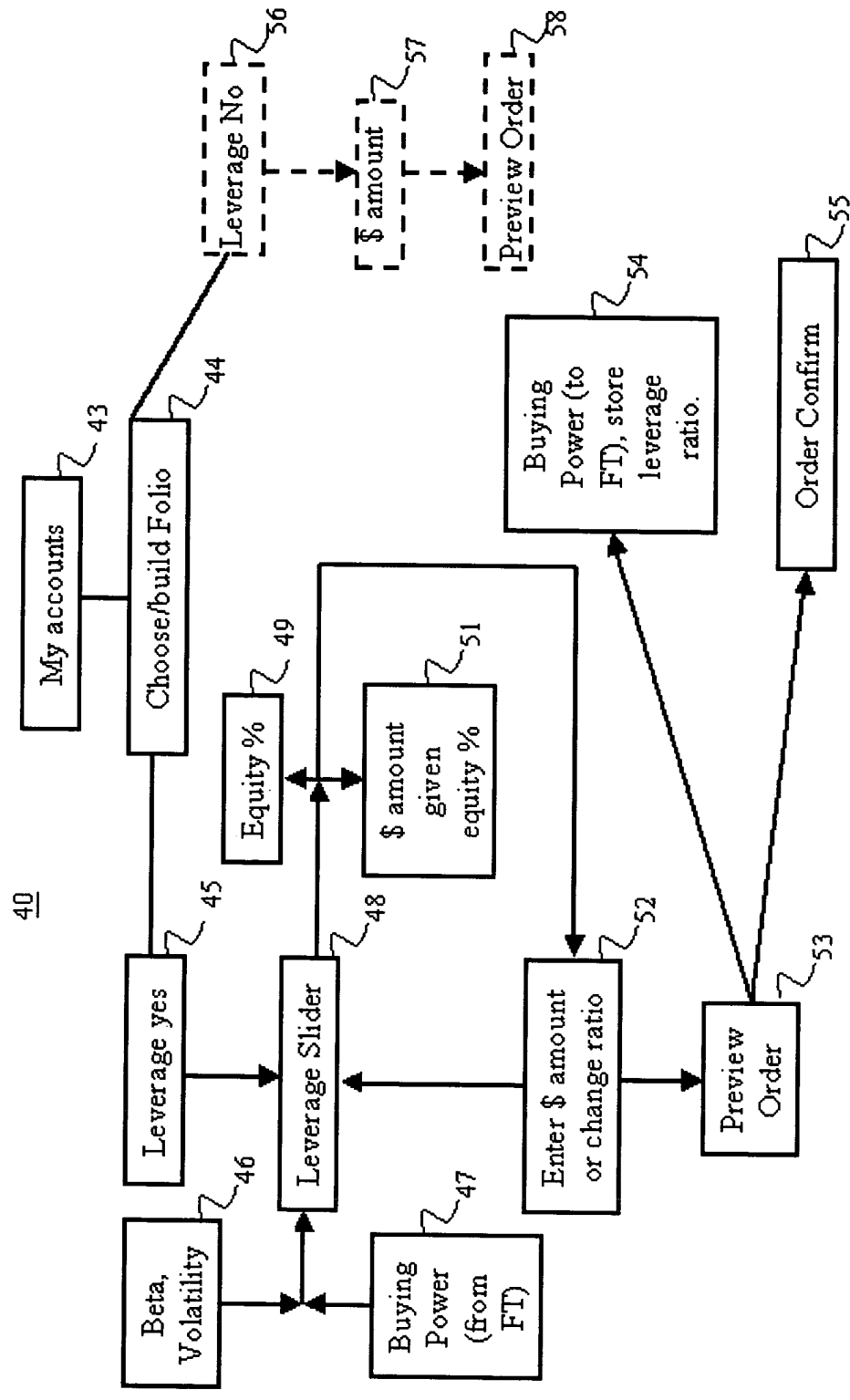


FIG 5

50

Create a Folio: Prepare Order

Account:

You have chosen the **FORTUNE Most Admired Folio**.

Cash Available for Trading: \$10,000



Use Leverage to turbo charge you Folio returns. what is leverage?

Leverage Slider

59

Enter the dollar amount to invest in this Folio: \$

Name this Folio:

FORTUNE Most Admired

(Use no more than 25 characters)

Decide what to do with dividends:

- ☒ Reinvest dividends of \$1 or more in the securities that paid them.
- ☐ Put all dividends in my Cash and Money Funds.

Cash dividends of less than \$1 will be deposited in your Cash and Money Funds.

Preview Order

FIG 6

60

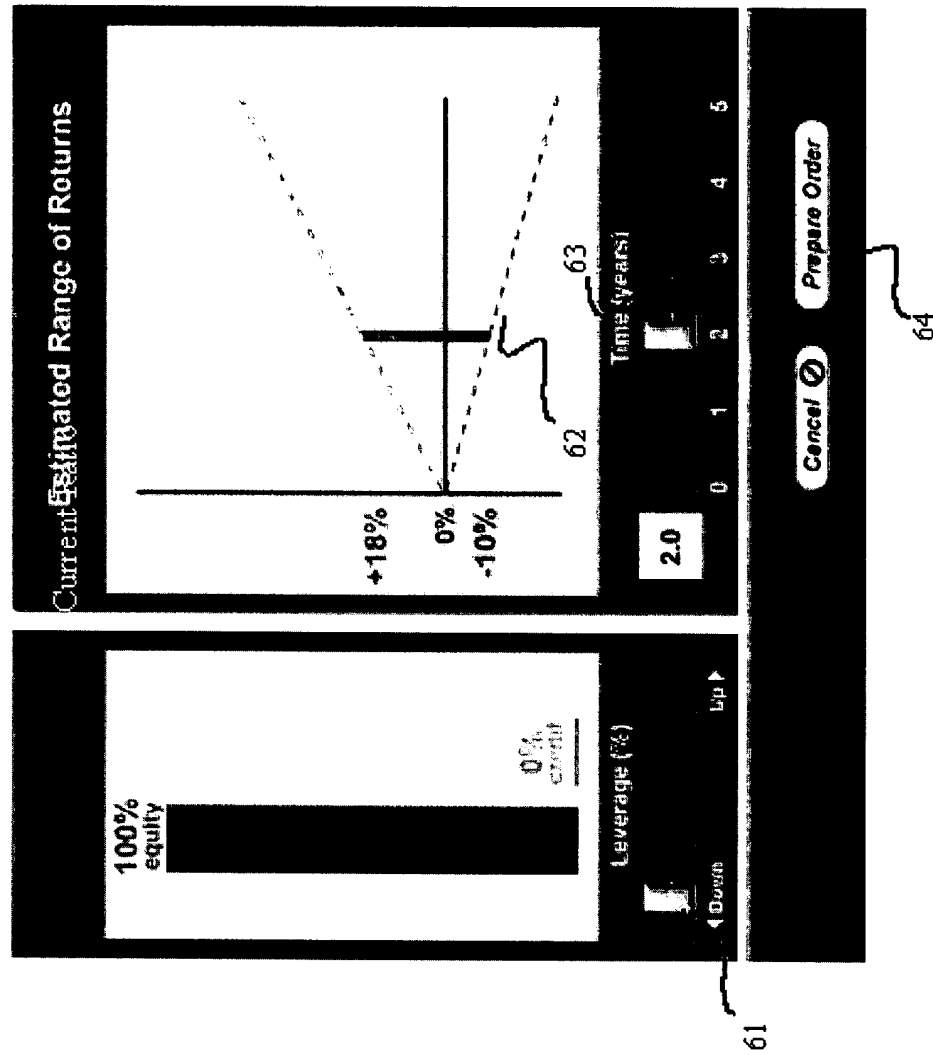


FIG 7

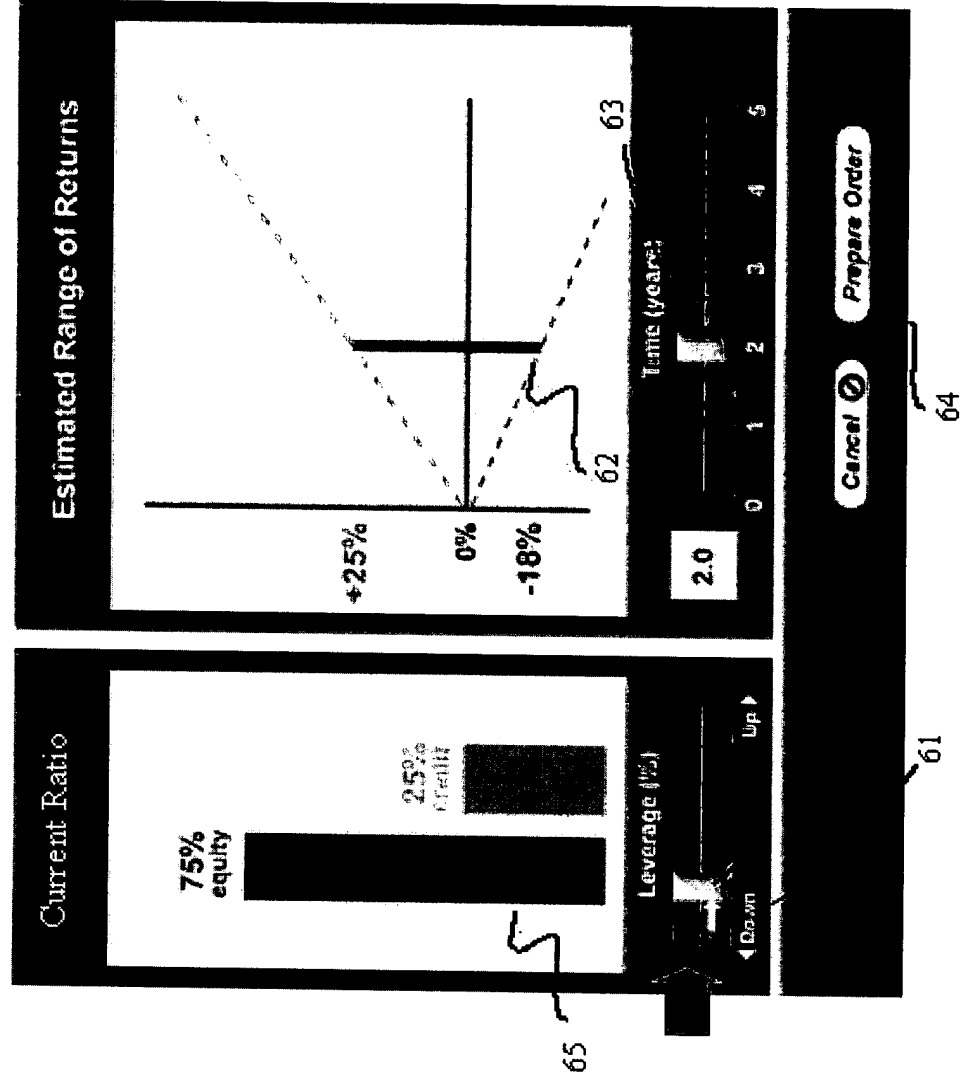


FIG 8

80

Account : **Big Dog**

Create a Folio: *Prepare Order*

You have chosen the **FORTUNE Most Admired Folio**. 81

82 **Using 25% leverage**, you can buy up to \$13,333.33 of this Folio.

How much would you like to buy? \$ 83

Click the Leverage Slider button to modify the amount of leverage.

Leverage Slider 84

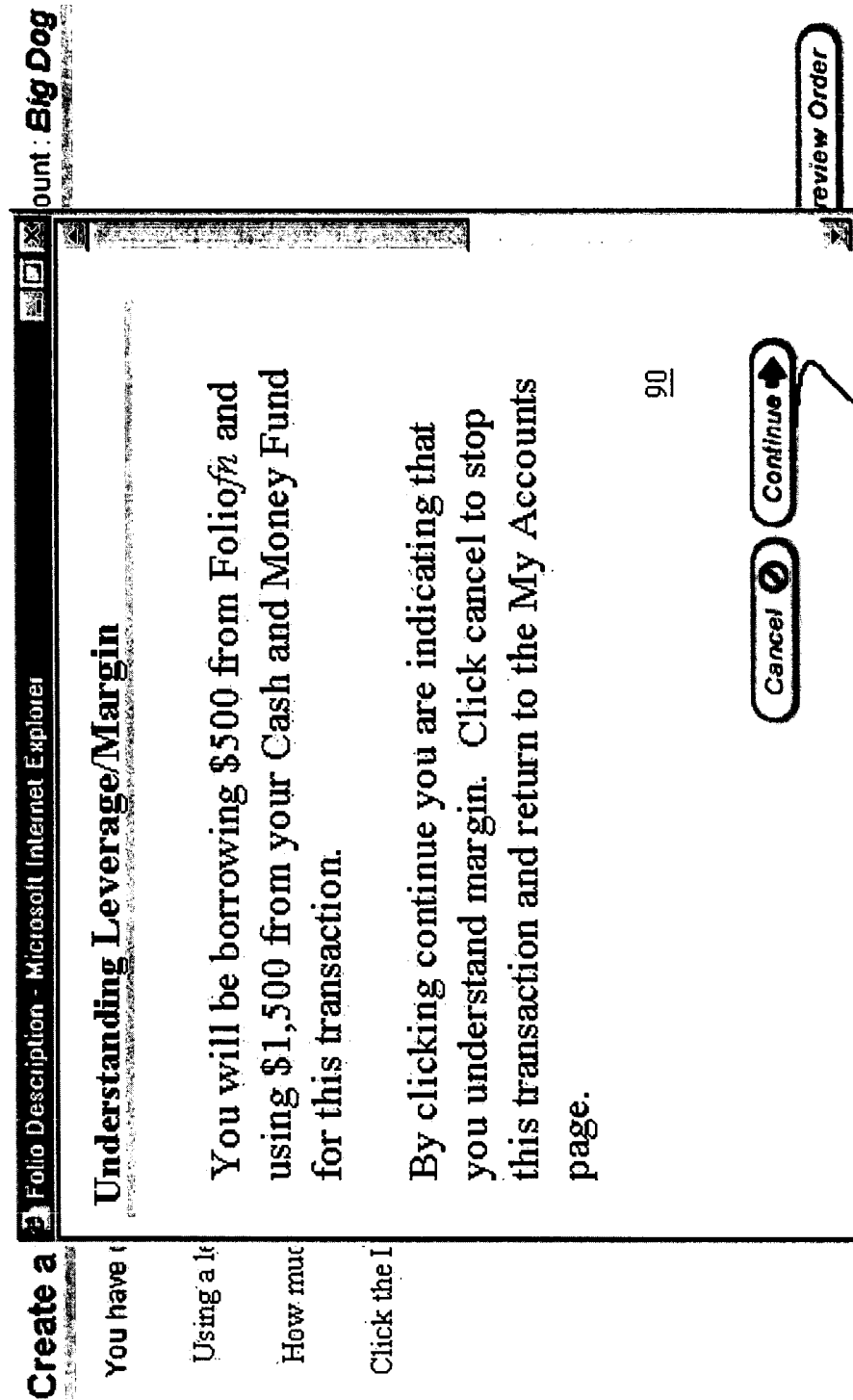
Decide what to do with dividends:

- ☒ Reinvest dividends of \$1 or more in the securities that paid them.
- ☐ Use all dividends to reduce my outstanding margin balance and put any remaining dividends in my Cash and Money Fund.

Cash and dividends of less than \$1 will be deposited in your Cash and Money Fund.

Continue 85

FIG 9



100

FIG 11 -- Easy Path: Ready-to-go Pre-Leveraged Folios

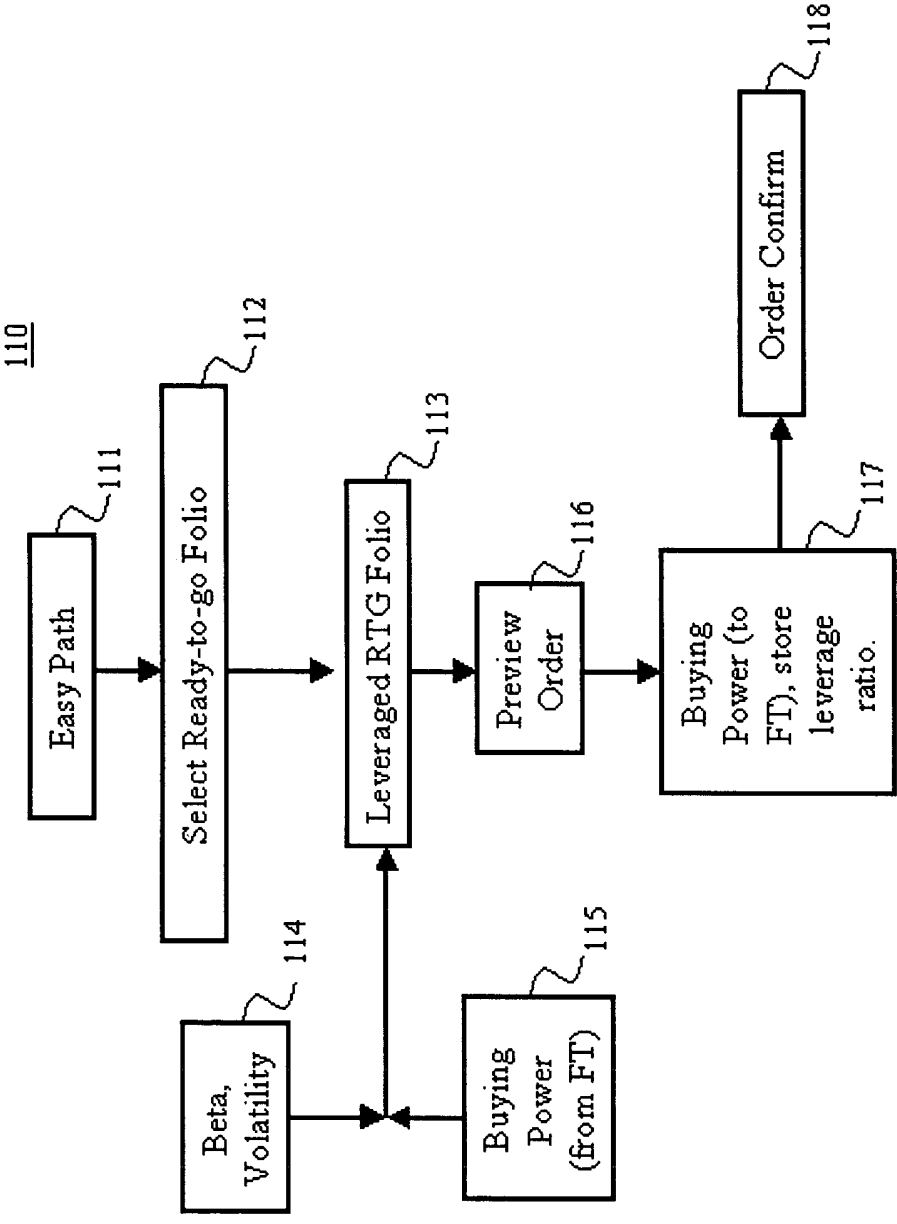


FIG 12

120

Step 1

In just a few clicks, you'll be browsing through Folios or making your own, free and without obligation! And using play money!

Easy Start shows you just some of our unique services. See all we have to offer in Step 3 by opening a test or real account.

Step 1: How would you like to invest?

Want help selecting a Folio?

▶ Let us help you select your investments

Answer a few questions and our FOLIO Wizard will suggest Folios that meet your investing goals.

Want to pick a Folio or build your own?

▶ Create your own Folio stock-by-stock

Put your own stock picks in a Folio. You can put one or up to 50 securities in a Folio.

▶ Choose from our Ready-to-go Folios

We offer over 100 Ready-to-go Folios that cover markets, sectors, risk levels, and more. It's as easy as selecting a mutual or index fund.

Steps

Step 1 Choose a way to invest

Step 2 Select or create a Folio.

Step 3 Save your Folio. Test drive it, no obligation, or open an account.

121



FIG 13

FOLIO

FOLIO_{IN}

STEP 2

Step 2: Select an investment. Pick a Ready-to-go Folio.

Ready-to-go Ffolios make it very simple to invest. And like mutual funds, you don't need to decide which individual stocks to purchase (although you may do so if you like). Here's a sampling of great starter Ffolios.

Show all Ready-to-go Ffolios

131

Our Featured Ffolios

Ready-to-go pre-Leveraged Ffolios [Buy](#) as the market overall.

Buy The folio has a beta close to 1. Folio Reviewed: 5/9/01. Folio Changed: 4/4/01. [more info](#). [stock details](#)

Buy FORTUNE Most Admired A Folio of stocks included in the FORTUNE America's Most Admired Companies (SM) Top 10 List as published on February 19, 2001 in FORTUNE® Magazine. [more info](#). [stock details](#)

Buy CONTRASTING A Folio of stocks that have been less risky than the market overall. The folio has a beta lower than 1. Folio Reviewed: 5/8/01. Folio Changed: 4/4/01. [more info](#). [stock details](#)

Buy Biotechnology A Folio of biotechnology stocks. Folio Reviewed: 4/2/01. Folio Changed: 5/14/00. [more info](#). [stock details](#)

Buy ADDRESSING A Folio of stocks that have been more risky than the market overall. The folio has a beta higher than 1. Folio Reviewed: 5/9/01. Folio Changed: 1/21/00. [more info](#). [stock details](#)

Buy FOLIO 30 The 30 stocks in the Dow Jones Industrial Average. The Dow is one of the oldest and most widely quoted of all market indicators. Folio Reviewed: Concurrent with changes in the index. Folio Changed: 3/31/00. [more info](#). [stock details](#)

Ffolios are Flexible

You can customize Ffolios anytime before or after purchasing them by changing their stocks or the dollar amount. Easily rebalance them. Or simply leave them as they are.

Learn More

Read about the differences between Ffolios and mutual funds.

FOLIOsm
forum

The Market

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Create a FOLIO: Preview and Place Order

Account: FOLIOfm 401k

Order Overview

Account Name:	FOLIOfm 401k	Buy:	\$500.00
FOLIO Name:	FORTUNE World Admired	Sell:	\$0.00
		No Commissions on Window Trades:	\$0.00

Trade Preferences

Please Note: We can cancel your order if its market value changes between the time you place the order and the time it is executed. If you haven't specified a "cancel order limit," we set it for you at 5%. Click on "Change Preferences" to modify your cancel order limit setting.

Since you have chosen a target leverage ratio of 25%, this purchase will be made using margin. Please be aware that there are additional costs associated trading on margin.

Trade Type:	Window Trade
Order Type:	Dollar-based
Cancel Order Limit:	5.00 %
Target Leverage:	25 %

Change Preferences

Explain This Page

Check dollar amount

Link to FOLIOfm 401k

The Order section

Gridlinks: Cancel or Modify

Provide more information

Due to rounding, the total order or stock security may not add up exactly to the order amount

Selling: To sell securities, click on Sell tabs

Changes to your Membership and

FIG 14

FIG 15 -- Leverage Slider, Easy Trade Buy

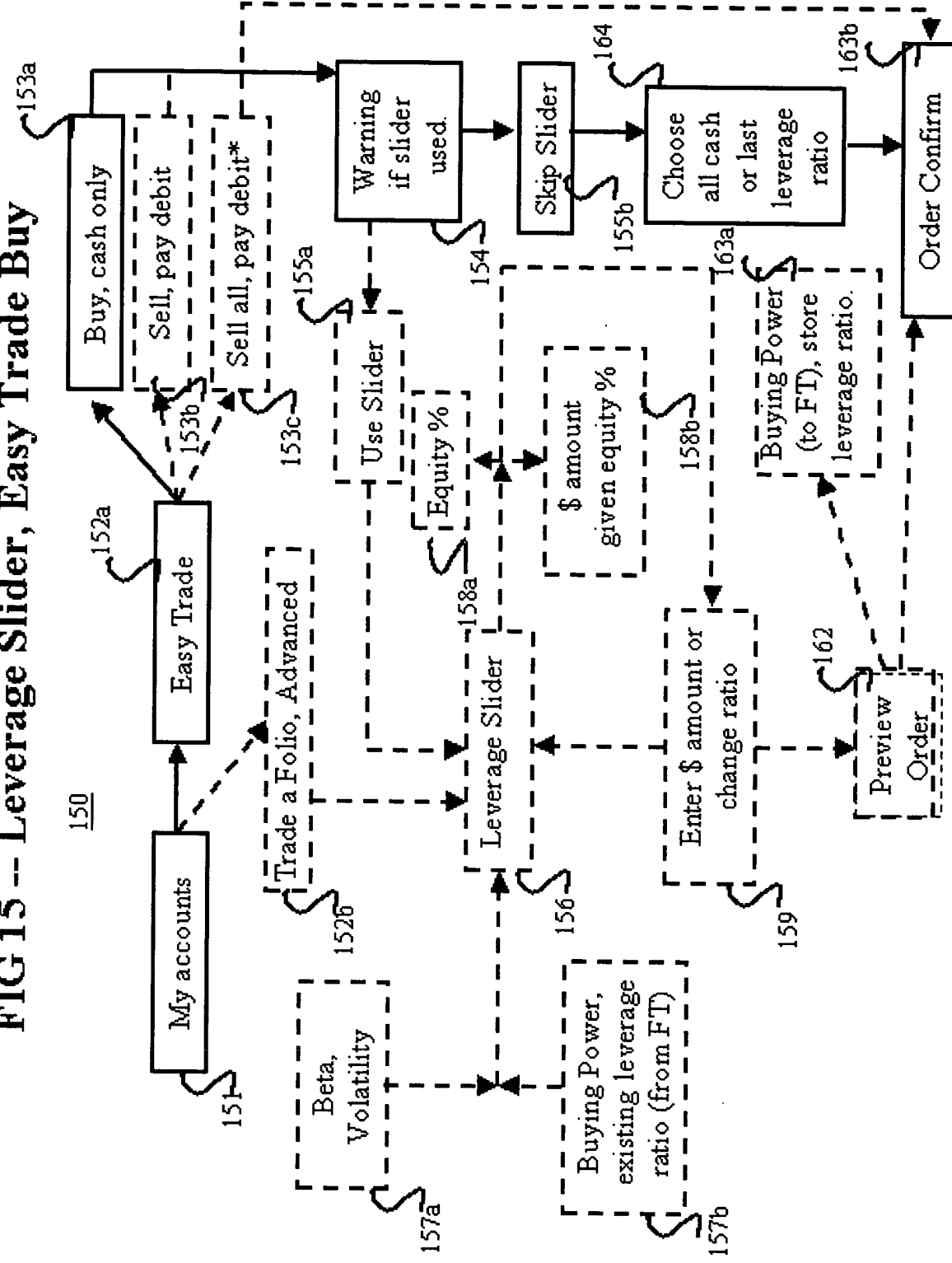



FIG 16


160

Easy Trade


To buy or sell, choose an action, enter a dollar amount, and click "Preview Order." Your dollar order will be spread across your FOLIO's securities in proportion to their values as of the time you place your order.



☐ Buy


 161

☐ Sell

 165

\$

2000

 166

Account

FOLIO:

To sell all of the FOLIO, choose "Sell All" and click "Preview Order."

☐ Sell All

 167

Market Value:

Cash available for trading:

168

Preview Order

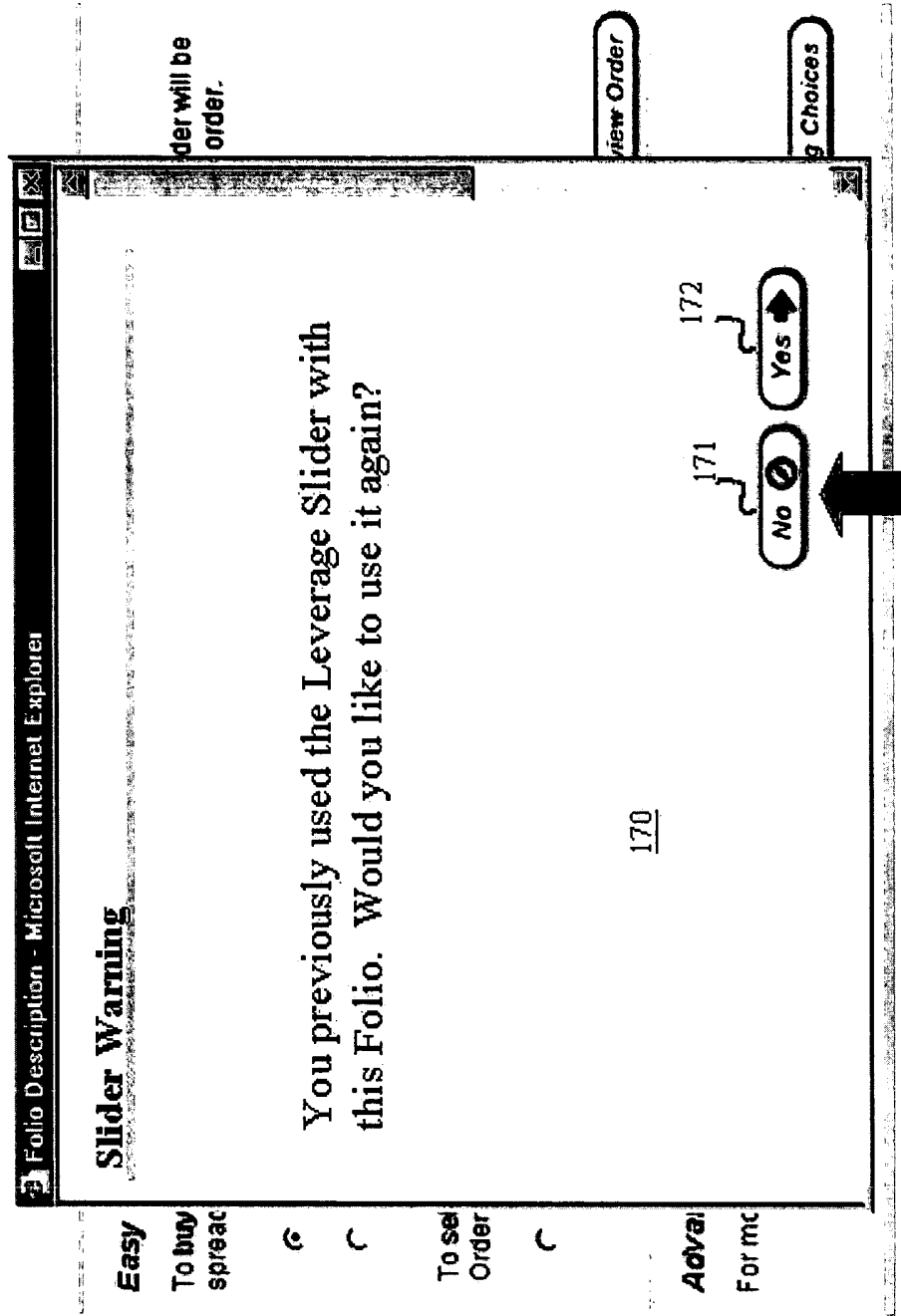
Advanced Trade

For more advanced trading options, click "More Trading Choices."

More Trading Choices

169

FIG 17



180

FIG 19

190

Order Overview

Account Name:	Big Dog	Buy:	\$2,000.00
FOLIO Name:	FORTUNE Most Admired	Sell:	\$0.00

191

Buy/Sell Details

192

Buy using Cash	\$2,000.00	Total Sell	\$0.00
Buy using Margin	\$0.00	Sell Paid to Cash	\$0.00
Total Buy	\$2,000.00	Sell Paid to Margin	\$0.00

Margin Details

193

Target Margin	\$500.00	Total Equity	\$3,500.00
Current Margin	\$500.00	Target Percent Margin	12.50%

194

Other Fees

195

		Commission Fees:	\$0.00
		SEC Fees:	\$0.00
		Net Change in Cash Fund:	(\$2,000.00)

197

FIG 20 -- Leverage Slider, Easy Trade Sell

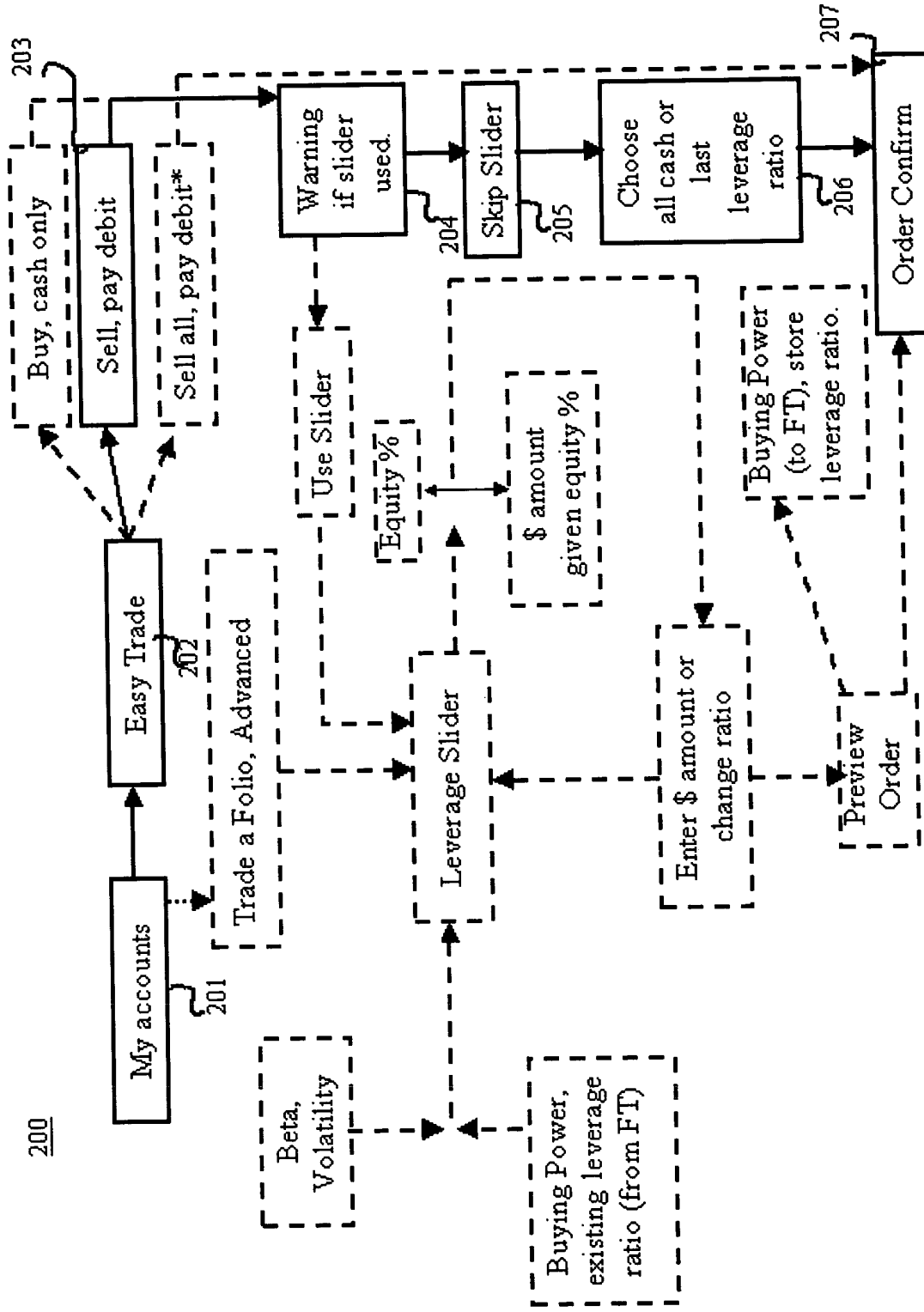


FIG 21

210

Easy Trade

To **buy or sell**, choose an action, enter a dollar amount, and click "Preview Order." Your dollar order will be spread across your FOLIO's securities in proportion to their values as of the time you place your order.

☐ Buy
 ☒ Sell

\$100

212

To **sell all** of the FOLIO, choose "Sell All" and click "Preview Order."

☐ Sell All

Account:

FOLIO:

Market Value:

Cash available for trading:

Preview Order

Advanced Trade

For more advanced trading options, click "More Trading Choices."

More Trading Choices

213

FIG 22

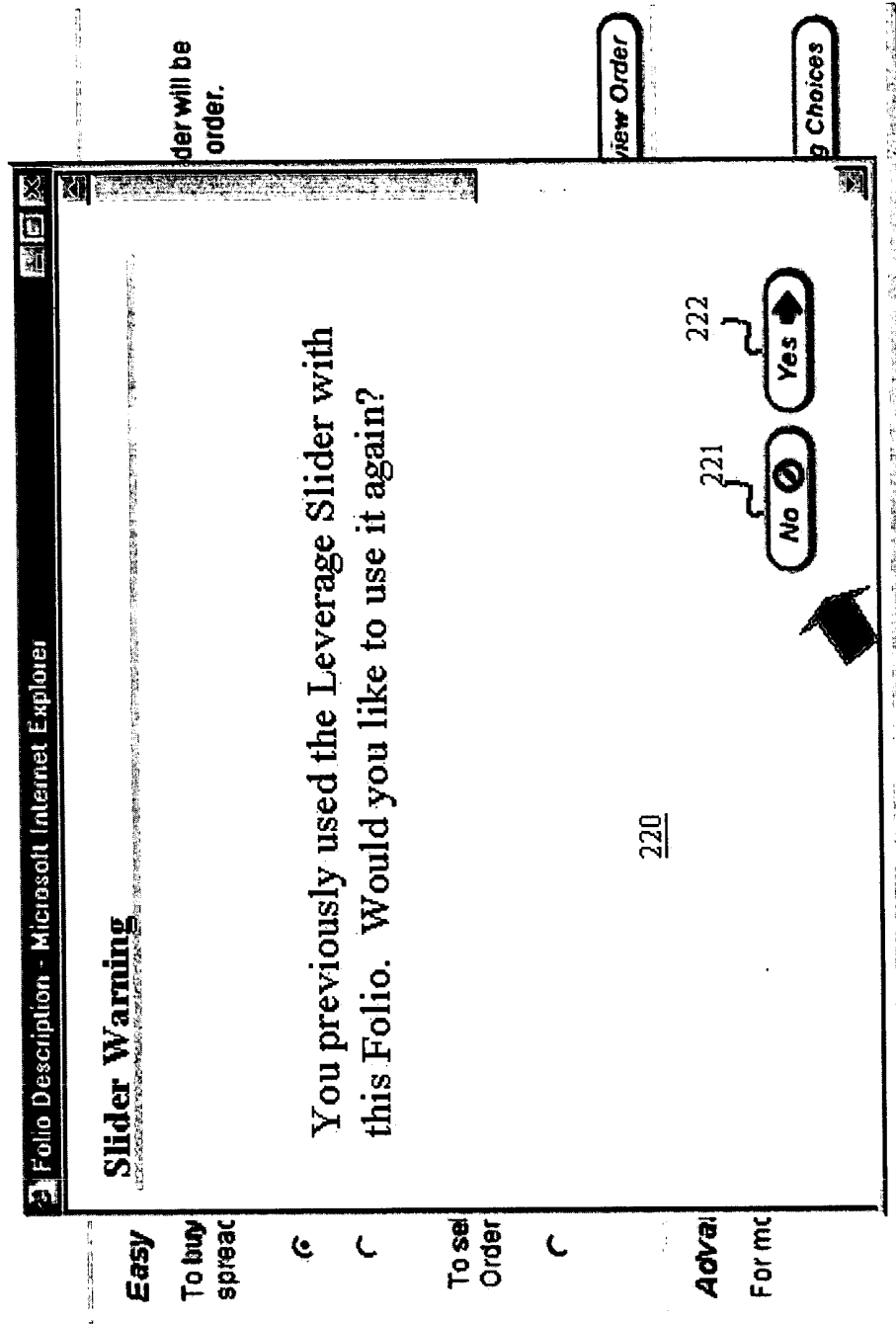


FIG 23

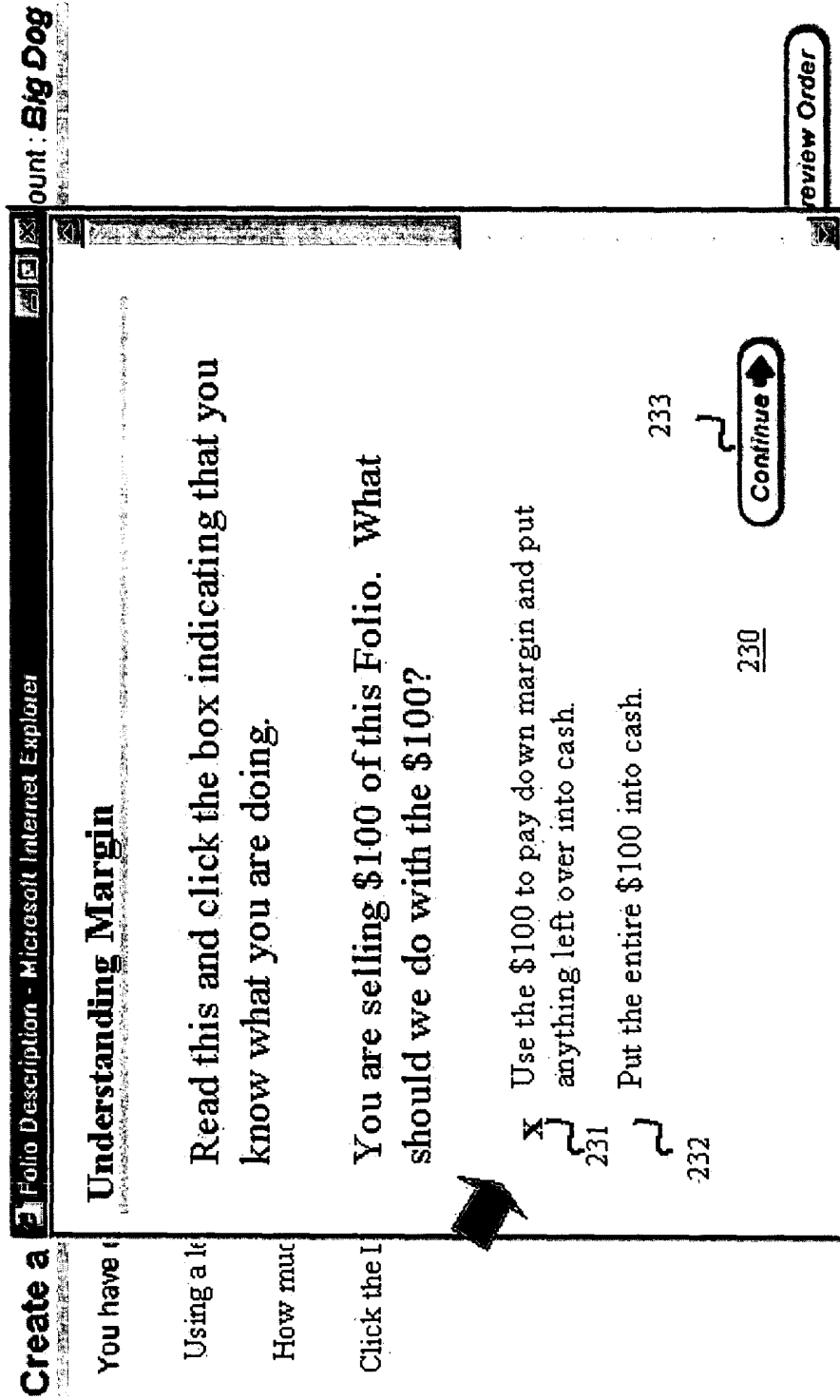


FIG 24

FIG 25

250**Order Overview**

Account Name:	Big Dog	Buy:	-----
FOLIO Name:	FORTUNE Most Admired	Sell:	\$100.00

Buy/Sell Details

Buy using Cash	\$0.00	Total Sell	\$100.00
Buy using Margin	\$0.00	Sell Paid to Cash	\$0.00
Total Buy	\$0.00	Sell Paid to Margin	\$100.00

Margin Details

Target Margin	\$400.00	Total Equity	\$3,500.00
Current Margin	\$500.00	New Percent Margin	10.26%

Other Fees

		Commission Fees:	\$0.00
		SEC Fees:	\$0.00
		Net Change in Cash Fund:	0.00

FIG 26 -- Leverage Slider, Advanced Trade

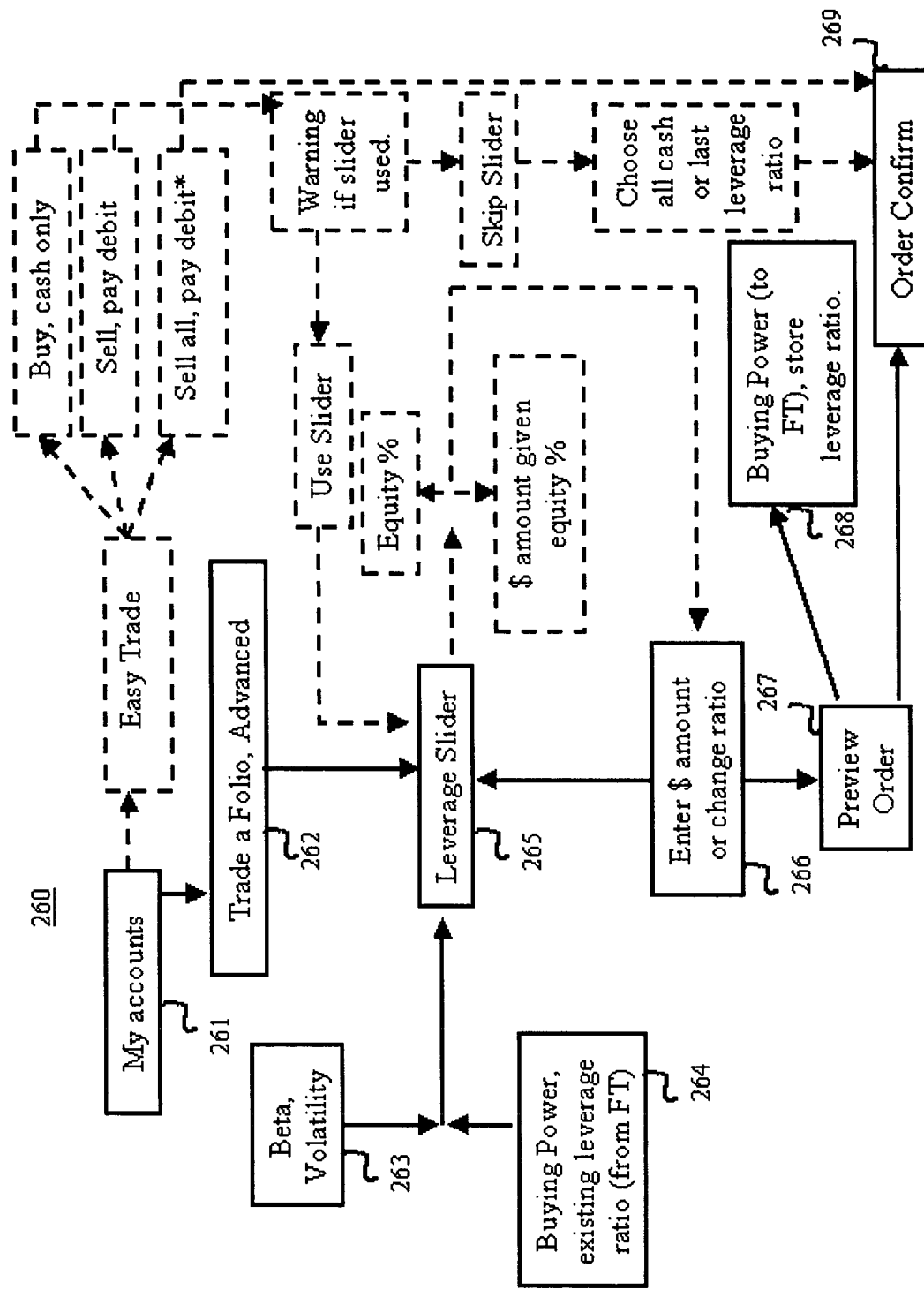
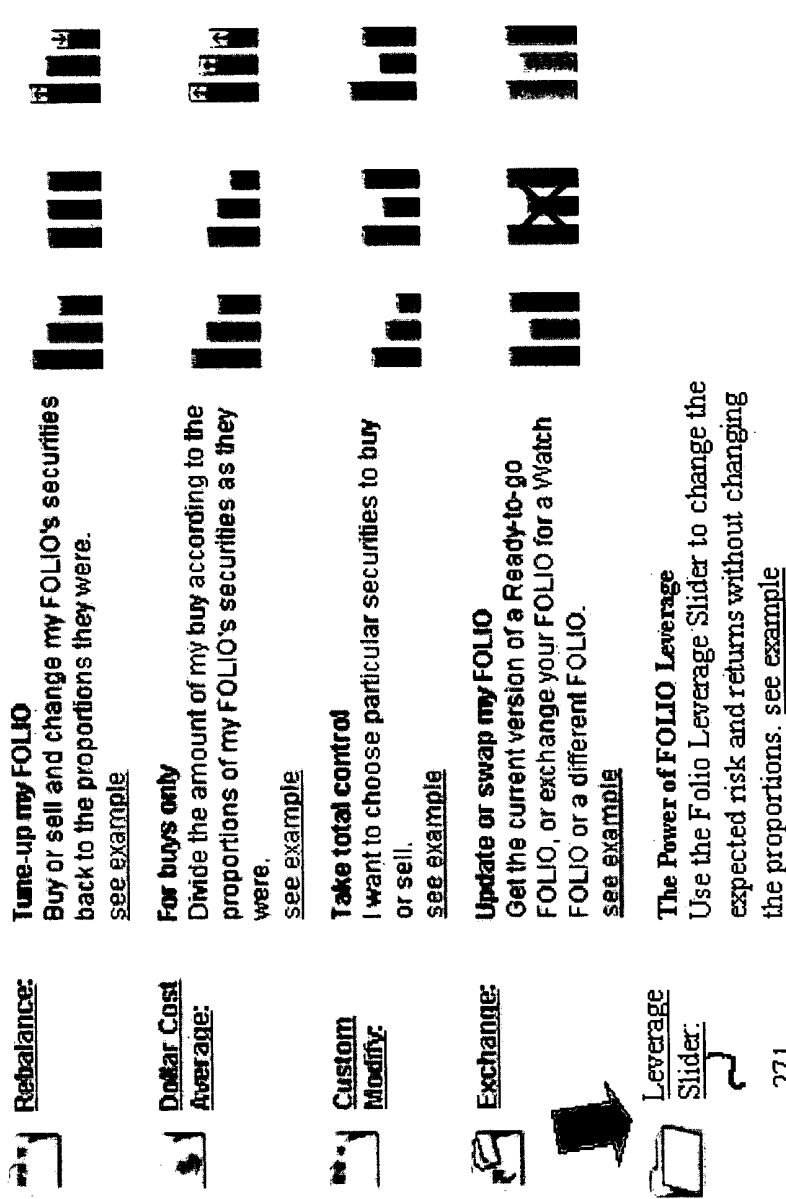


FIG 27

270



271

FIG 28

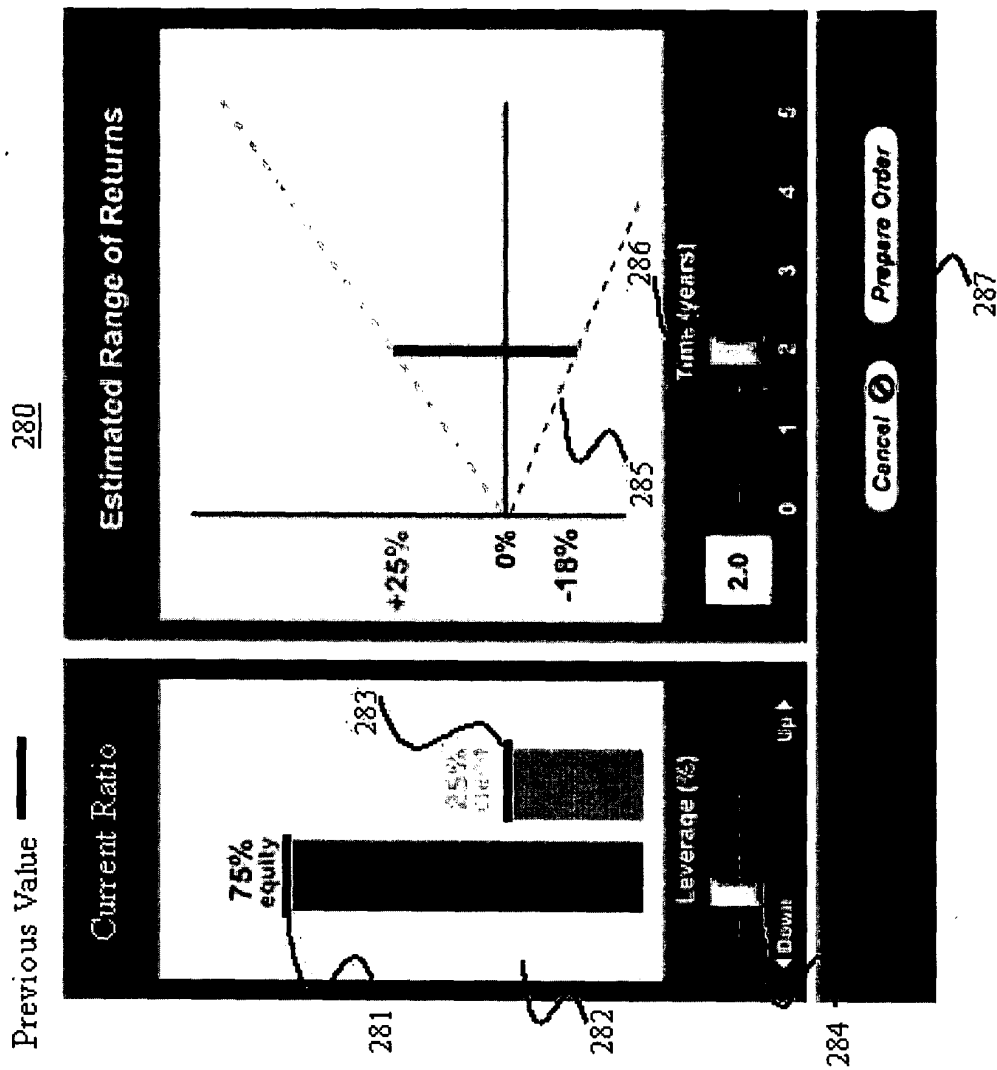


FIG 29

280

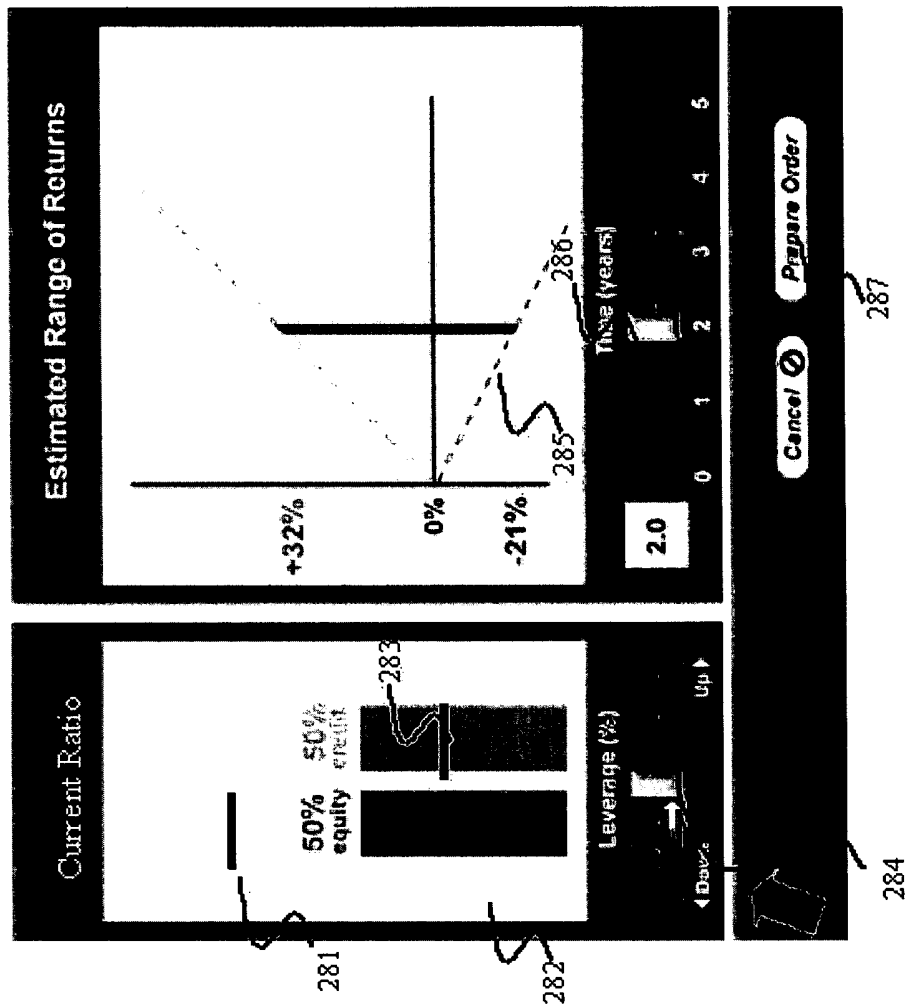


FIG 30

Create a Folio: *Prepare Order*

300

Account: **Big Dog**

You have chosen the **FORTUNE Most Admired Folio.**

301

302

Using a leverage ratio of 50%, you can buy up to \$XX,XXX.XX of this Folio.

How much would you like to buy? \$2,000.00

303

Click the Leverage Slider button the increase or decrease Leverage.

Leverage Slider

304

Decide what to do with dividends:

☒ Reinvest dividends of \$1 or more in the securities that paid them.

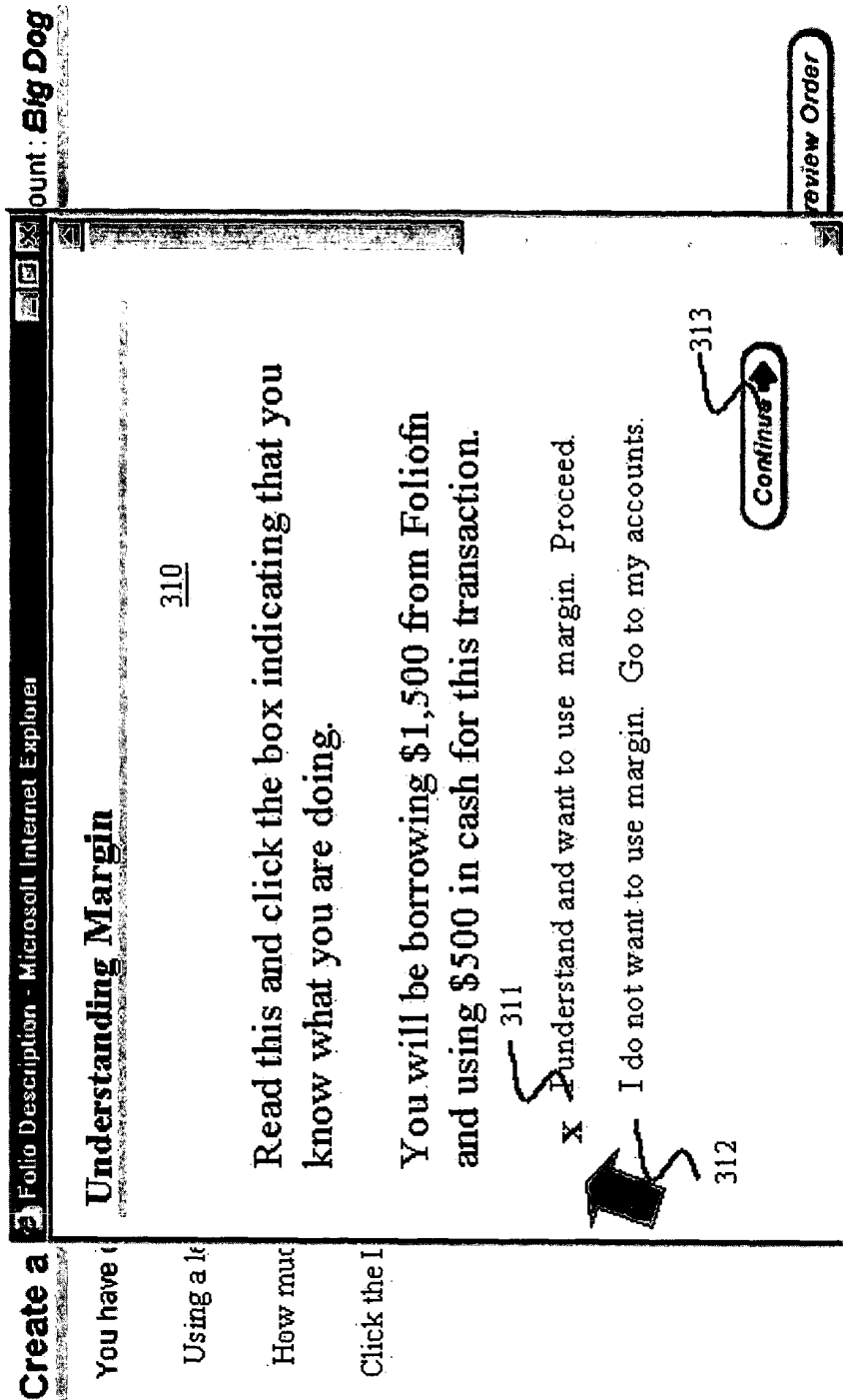
☐ Put all dividends in my Cash and Money Funds.

Cash dividends of less than \$1 will be deposited in your Cash and Money Funds.

Preview Order

305

FIG 31



- 76 -

FIG 33

Order Overview

Account Name:	Big Dog	Buy:	\$2,000.00
FOLIO Name:	FORTUNE Most Admired	Sell:	

Buy/Sell Details

Buy using Cash	\$500.00	Total Sell	\$0.00
Buy using Margin	\$1,500.00	Sell Paid to Cash	\$0.00
Total Buy	\$2,000.00	Sell Paid to Margin	\$0.00

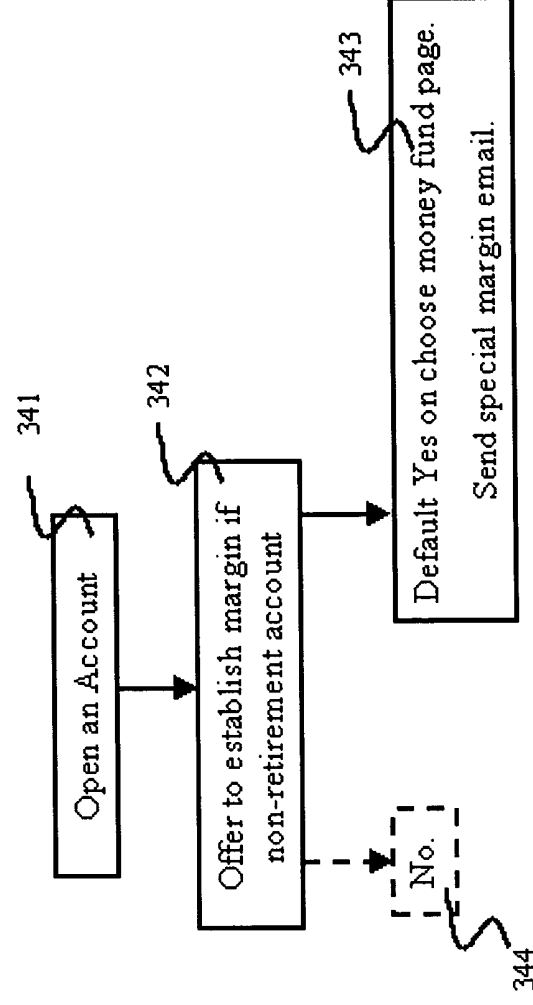
Margin Details

Target Margin	\$2,000.00	Total Equity	\$2,000.00
Current Margin	\$500.00	New Percent Margin	50.00%

Other Fees

		Commission Fees:	\$0.00
		SEC Fees:	\$0.00
		Net Change in Cash Fund:	(\$500.00)

FIG 34 -- Margin and Account Opening



340

FIG 35

Open Your Account: *Money Management*

350

Fund for Cash

Please choose a fund to keep your cash in. By selecting a fund, you agree that you have read and understand the fund prospectus.

For best results, you will need Adobe® Acrobat® Reader 4.0 or higher to view and print the prospectus. If Acrobat is installed on your computer, the program will automatically launch when you click on the prospectus. If you need to install Acrobat, click the "Get Acrobat Reader" button.



Please select a fund:

- ☐ General Money Market Fund
- ☐ Municipal Money Market Fund
- ☐ U.S. Government Fund

Margin

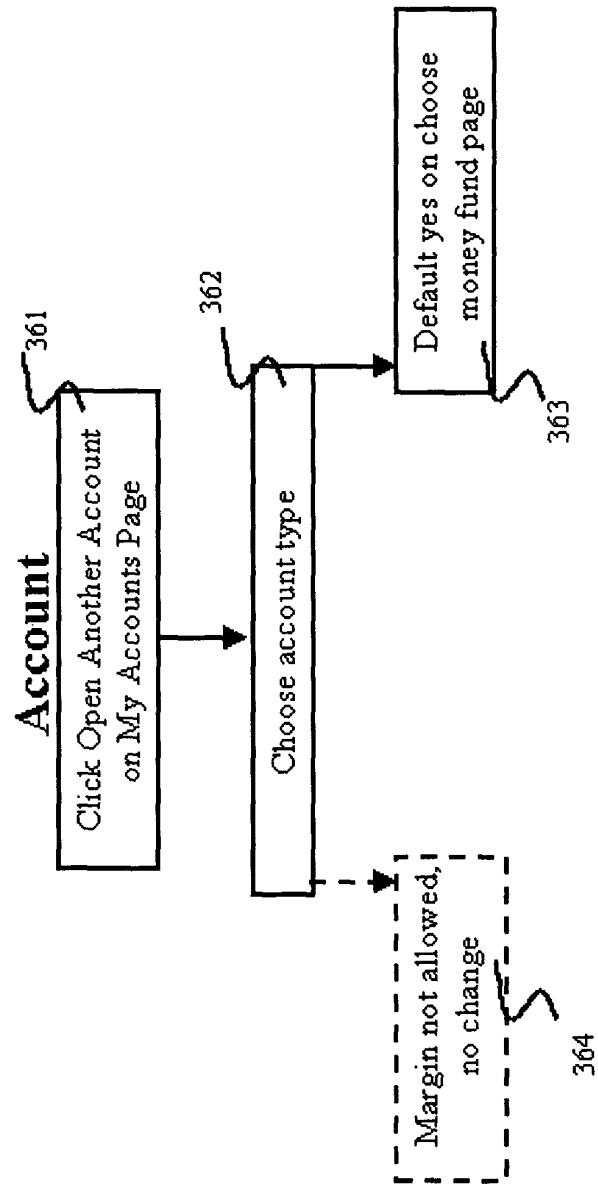
Please be sure you have read the customer agreement and understand the risks of investing on margin. Click here for more info.

☒ Allow margin in this account.

☐ Do not allow margin in this account.

351

FIG 36 -- Margin and Add New (additional)



360

FIG 37

Open Your Account: *Money Management*

370

Fund for Cash

Please choose a fund to keep your cash in. By selecting a fund, you agree that you have read and understand the fund prospectus.

For best results, you will need Adobe® Acrobat® Reader 4.0 or higher to view and print the prospectus. If Acrobat is installed on your computer, the program will automatically launch when you click on the prospectus. If you need to install Acrobat, click the "Get Acrobat Reader" button.



Please select a fund:

- ☐ General Money Market Fund
- ☐ Municipal Money Market Fund
- ☐ U.S. Government Fund

Margin

Please be sure you have read the customer agreement and understand the risks of investing on margin. Click here for more info.

☒ Allow margin in this account.

☐ Do not allow margin in this account.

371

FIG 38 -- Margin Profile

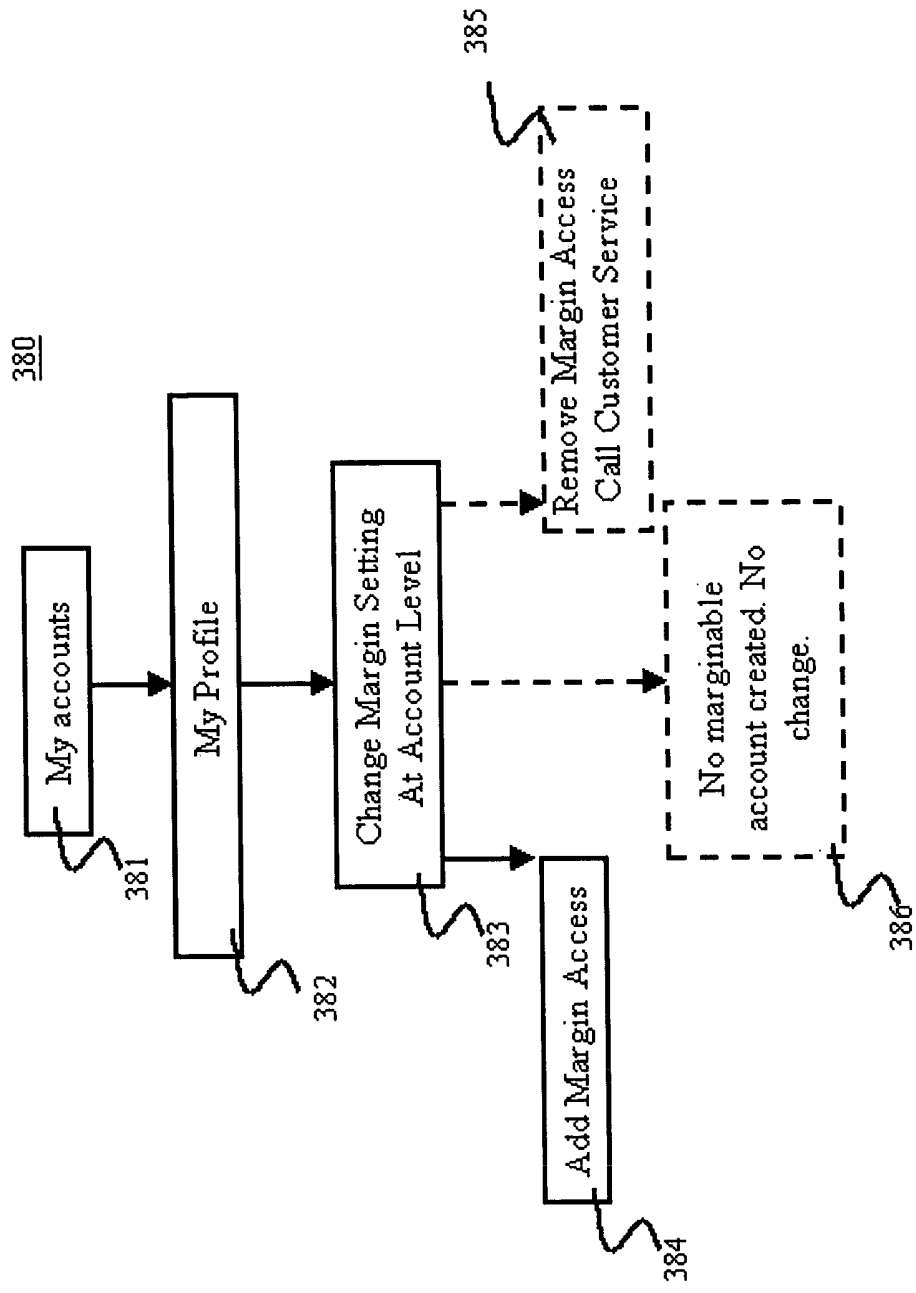


FIG 39

Account Information

390

Account Name: Jay's Day Trader (#MA00007003)

K J Papp

Jason Rockelein (TIC)

My Access Level: Account Creator

Change: [Account Name](#) | [Cancel Order Limit](#) | [Stock Exclusions](#) | [Add Margin](#)

[Tax Lot Selection](#) | [Fund for Cash](#) | [Close Account](#)

 **231 FOLIO** (#MA0000700323)

Change: [FOLIO Name](#) | [Dividend](#) | [Close FOLIO](#)

 **Dow FOLIO** (#MA0000700330)

Change: [FOLIO Name](#) | [Dividend](#) | [Close FOLIO](#)

Account Name: Jay's IRA (#MA000000001)

K J Papp

Jason Rockelein (TIC)

My Access Level: Account Creator

Change: [Account Name](#) | [Cancel Order Limit](#) | [Stock Exclusions](#)

[Tax Lot Selection](#) | [Fund for Cash](#) | [Close Account](#)

 **231 FOLIO** (#MA0000700323)

Change: [FOLIO Name](#) | [Dividend](#) | [Close FOLIO](#)

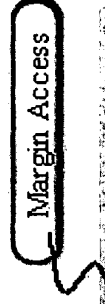
FIG 40

Margin Borrowing

400

Margin is not currently authorized for this account. To learn more about margin click more info or click customer agreement.

Please click the Margin Access button to add margin for this account. By clicking this you agree that you have read the customer agreement and that you understand the risks of margin.



401

FIG 41

410

Change Account: Review

You are about to add margin to this account. Are you sure you want to do this?

No 

Yes 

411

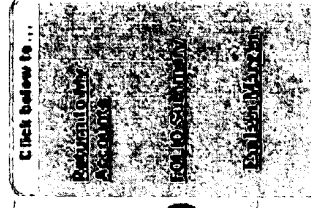


FIG 42 -- Margin Profile

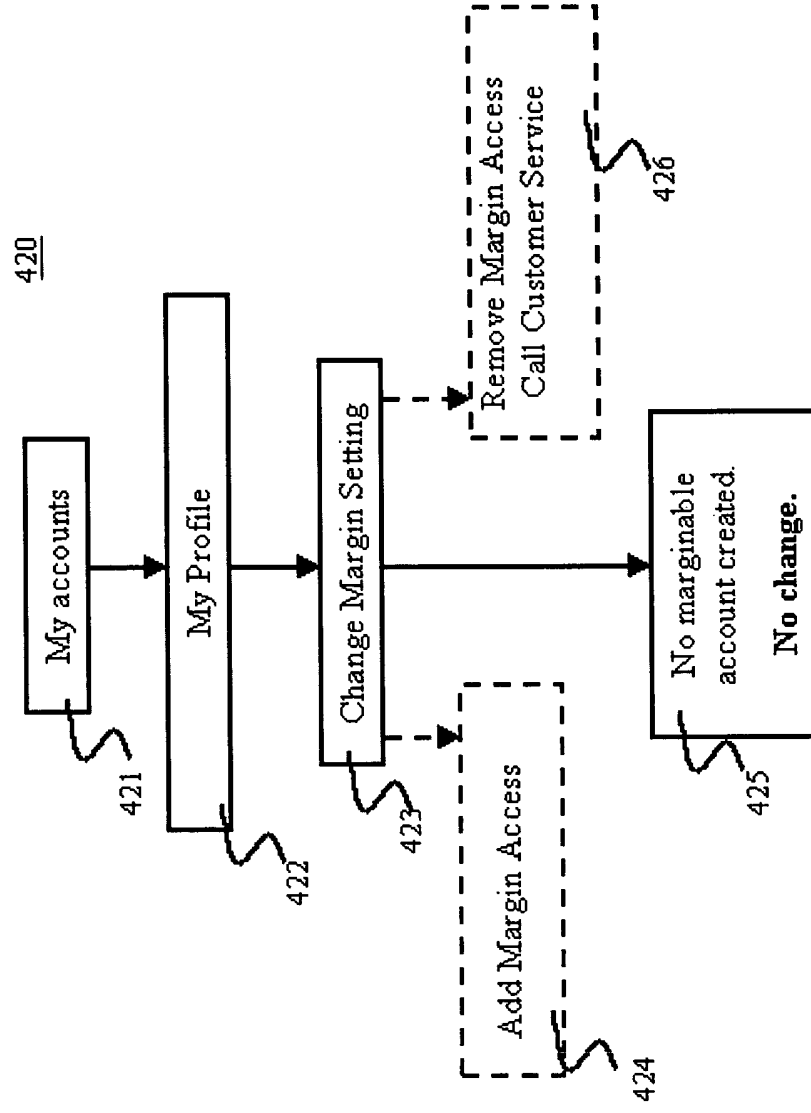


FIG 43 -- Margin Profile

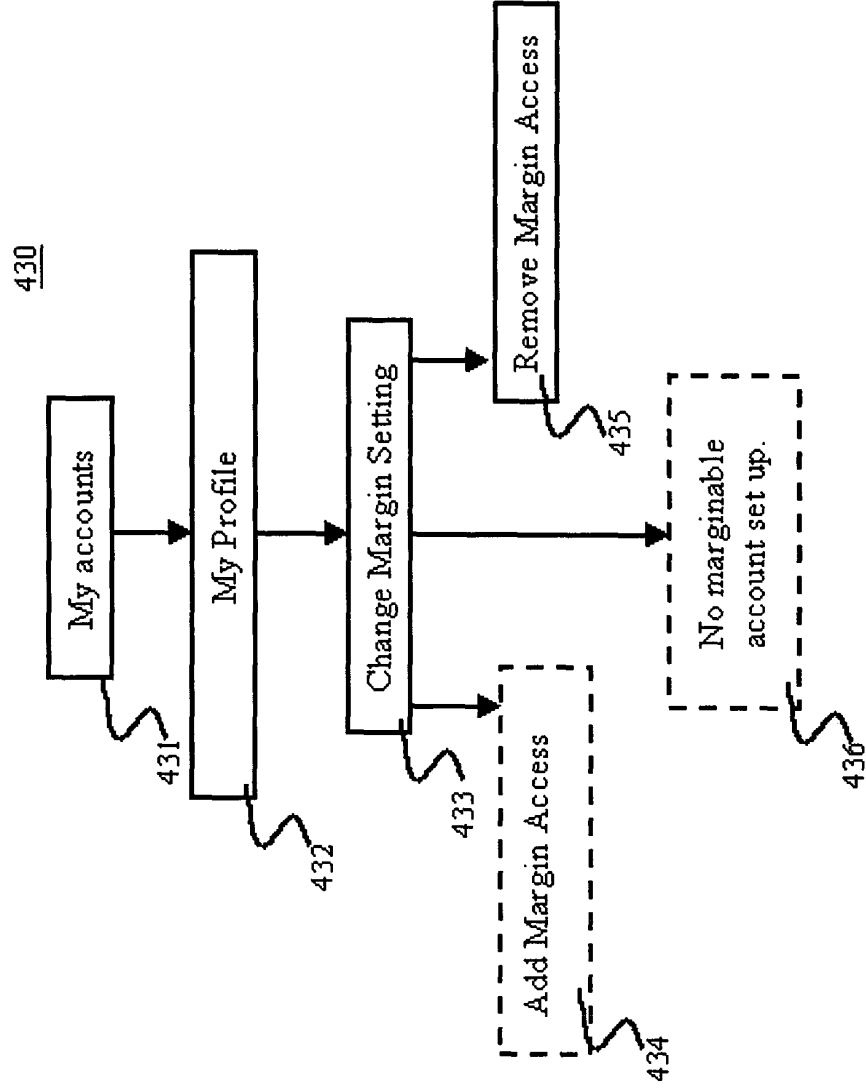


FIG 44

Account Information

440

Account Name: Jay's Day Trader (#MA00007003)

KJ Papp

Jason Rockelein (TIC)

My Access Level: Account Creator

Change: Account Name | Cancel Order Limit | Stock Exclusions | Remove Margin
Tax Lot Selection | Fund for Cash | Close Account

 **231 FOLIO** (#MA0000700323)

Change: FOLIO Name | Dividend | Close FOLIO

 **Dow FOLIO** (#MA0000700330)

Change: FOLIO Name | Dividend | Close FOLIO

Account Name: Jay's IRA (#MA000000001)

KJ Papp

Jason Rockelein (TIC)

My Access Level: Account Creator

Change: Account Name | Cancel Order Limit | Stock Exclusions
Tax Lot Selection | Fund for Cash | Close Account

 **231 FOLIO** (#MA0000700323)

Change: FOLIO Name | Dividend | Close FOLIO

Change Account: Review

450

Margin

To remove margin from this account select the appropriate button below and click on the continue button. Click here for more info.

☐ Allow margin in this account.

☒ Do not allow margin in this account.

Continue 

451

FIG 45

FIG 46 -- Margin Profile

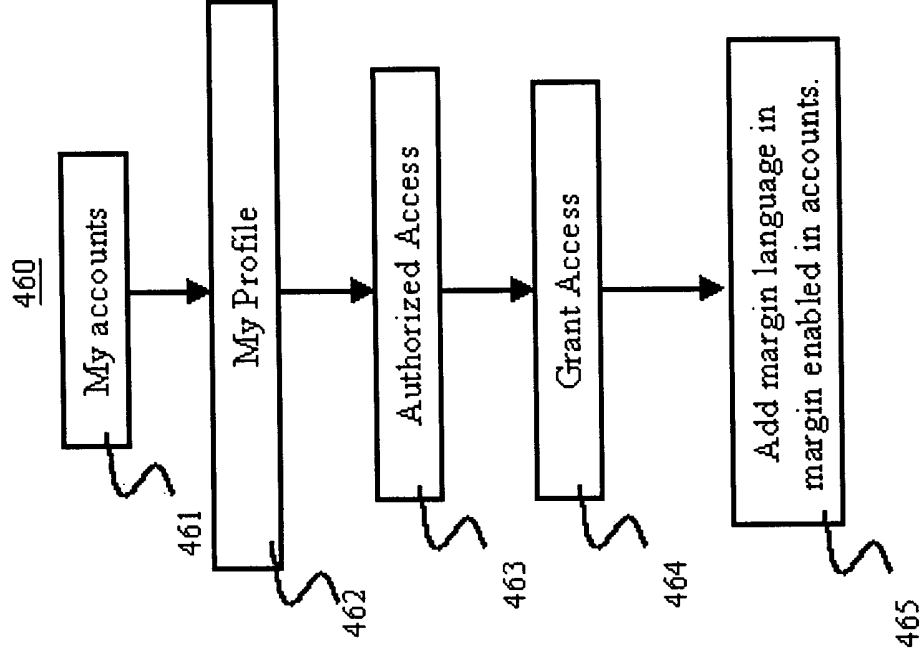


FIG 47

470

To grant another FOLIO member access to your account, please enter the member's user name, date of birth, and the access level you want to grant.

Grant access to this account:

Grant access to this member:
Please enter the member's user name:

Please enter the member's date of birth:

 / / (mm/dd/yyyy)

Please select an access level:

Account Manager [more info](#)

Can view the account, trade, transfer money, and vote proxies.

Trader [more info](#)

Can view the account, trade, and transfer money.

Money Mover [more info](#)

Can view the account and transfer money.

Detail Level Viewer [more info](#)

Can view the account details, such as balances, transaction history, order status, and holdings.

Summary Level Viewer [more info](#)

Can view the total balance and the FOLIO balances.

trade on margin,

including
available to
withdraw

**FIG 48 -- Margin and Account
Summary**

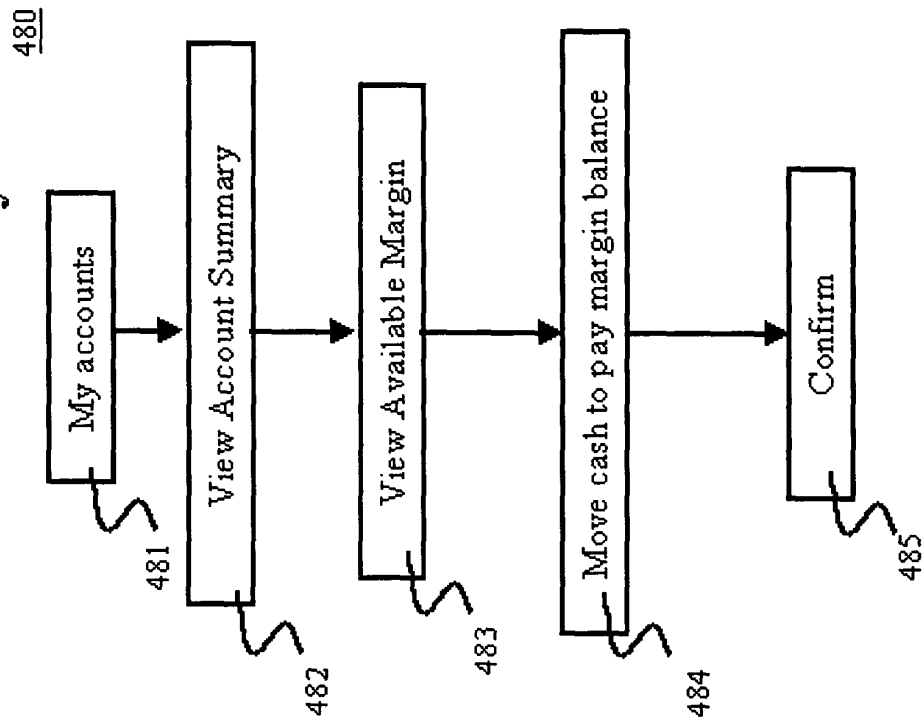


FIG 49

490

Name	DIRECT TRADE	Current Market Value	CREATE FOLIO	Actions
Big Dog (#EA0001500U)				<div style="display: flex; justify-content: space-between;"> <div>Create a New Folio</div> <div></div> </div>
Folio Holdings				
<u>Folio</u>		\$5,000.00		<div style="display: flex; justify-content: space-between;"> <div>Prepare a Window Trade</div> <div></div> </div>
Non-Folio Holdings		\$0.00		<div style="display: flex; justify-content: space-between;"> <div>Prepare a Direct Trade</div> <div></div> </div>
Cash & Money Funds		\$20,000.00		<div style="display: flex; justify-content: space-between;"> <div>Set up EFT</div> <div></div> </div>
Outstanding Margin Balance				
Total Market Value		<div style="text-align: right;"> <div style="font-size: 2em;">S</div> <div>(\$5,000.00)</div> </div> <div style="text-align: right;">\$20,000.00</div>		

491

FIG 50

Go 

View Summary:

500

	Current Market Value	Change	Previous Close	YTD Return
--	----------------------	--------	----------------	------------

Total Value: \$100015000

\$20,000.00

\$20,000.00

Securities

\$0.00

\$0.00

Folio Holdings

Folio

\$5,000.00

\$5,000.00

Folio Margin Balance

(\$5,000.00)

(\$5,000.00)

501

Cash & Money Funds (Net)

Cash & Money Funds (Total)

\$20,000.00

\$20,000.00

Pending Cash

\$0.00

\$0.00

Available to Borrow

\$15,000.00

\$15,000.00

Buying Power

\$30,000.00

\$30,000.00

Total Margin Balance

(\$5,000.00)

(\$5,000.00)

Total Value

\$20,000.00

\$20,000.00

FIG 51

View S... Folio Description - Microsoft Internet Explorer

Go

Pay Outstanding Balance

Your current outstanding margin balance on Folio FOLIO is (\$5,000).

Your current cash available is \$20,000.

How much do you wish to reduce this balance?

\$2,000.00

Continue

Total Val

Secur

Folio

F

No

Cash (Net)

Ca

(To

Pe

Av

Ou

Total Value

\$10,000.00

\$10,000.00

\$10,000.00

510

511

512

513

514

FIG 52

View S

Folio Description - Microsoft Internet Explorer

Go

Total Val

Secur

Folio

F

No

Cash (Net)

Ca

To

Pe

Av

Qu

521

522

523

Pay Outstanding Balance

\$2,000 in cash will be used to reduce your margin balance.

Your new outstanding margin balance for Folio FOLIO will be (\$3,000). Your total outstanding margin balance will be (\$3,000).

Are you sure you want to do this?

No

Yes

Total value

\$10,000.00

\$10,000.00

- 96 -

FIG 53

530

Want to see our Ready-to-go Folios?

Pick a Ready-to-go Folio & change it if you want

- Featured Folios See a collection of our popular pre-packaged Folios.
- Categories of Folios Explore Folios by market indexes, sectors, and other major categories.
- All our Folios Browse through our Folios in alphabetical order.

Want to build your own Folio?

Build your own Folio

- Stock-by-Stock Put your own stock picks into a Folio.
- Stock Selector Use tools to screen stocks.
- Beta Selector See the Folios that match your tolerance for risk.
- Internal Stock Transfer Transfer stocks into a new Folio or between Folios.

Want to send an order directly to the market?

Place a Market Order

Use Direct Trade to place a market order for \$14.95 per security outside of a Folio. (To place a market order for a Folio, select your Folio and on the "Preview and Place Order" page you can change from a Window Trade to a Direct Trade.)

[Return To My Accounts](#)

FIG 54 -- Margin and Folio Summary

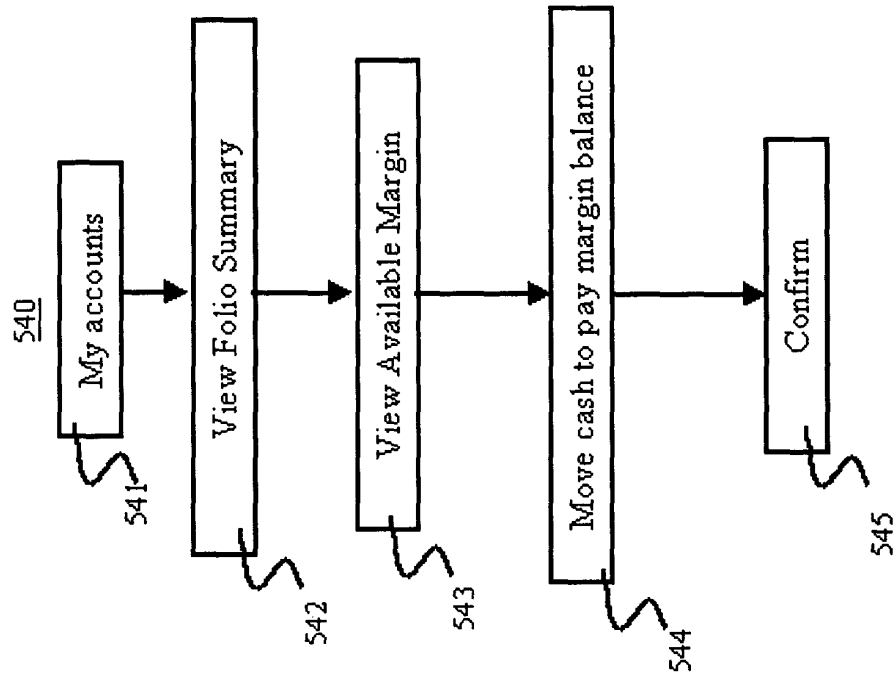


FIG 55

550


Name	Current Market Value	Actions
Big Dog (#EA00015000U)		Create a New Folio
 Folio Holdings		
<u>Folio</u>		
Non-Folio Holdings	\$5,000.00	Prepare a Window Trade
Cash & Money Funds	\$0.00	Prepare a Direct Trade
Outstanding Margin Balance	\$20,000.00	Setup EFT
Total Market Value	<div style="text-align: right;"> 551 (\$15,000.00) \$20,000.00 </div>	

FIG 56

560

	Current Market Value	Previous Close	Change	YTD Return
Folio Suppliers	\$5,000.00	\$5,000.00		
<u>Outstanding Margin Balance</u>	(\$5,000.00)	(\$5,000.00)		
	561	562		

Action	Description
<u>View Transaction History</u>	Provides detailed transaction history
<u>View Proportions</u>	View your Folio's current proportions and target proportions - use our tools to set new target proportions
<u>View Holdings</u>	Provides detailed holdings information
<u>View Order Status</u>	Provides order details for all accounts
<u>View Tax Information</u>	Provides tax lots and cost basis detail
<u>View Performance</u>	Compares your performance against a specified benchmark
<u>Reduce Margin Balance</u>	Use cash available to reduce you margin balance.
563	

FIG 57

View S
Folio Description - Microsoft Internet Explorer
Go
View Return

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Total value

Pay Outstanding Balance

Your current outstanding margin balance on Folio FOLIO is (\$5,000).

Your current cash available is \$20,000.

How much do you wish to reduce this balance?

\$5,000.00

\$5,000.00

\$5,000.00

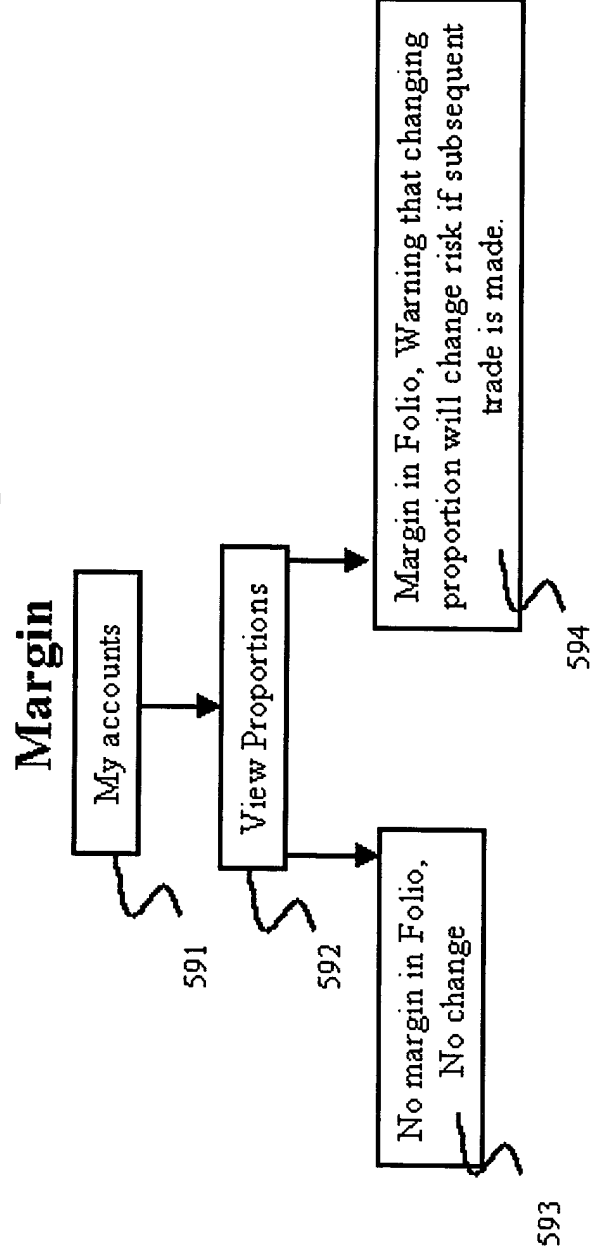
\$5,000.00

Continue

- 101 -

- 102 -

FIG 59 -- View/Change Proportion and



590

**FIG 60 -- Margin Resubmit
Order/Order Status**

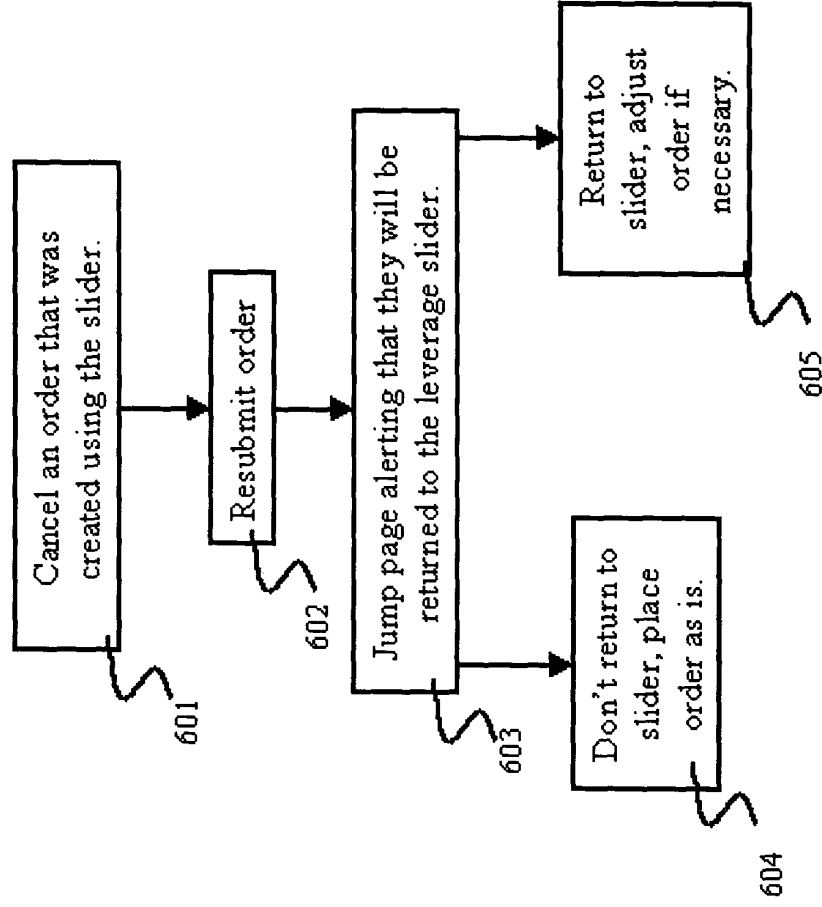


FIG 61

Order Status: **Analyst Growth**

610

Change View to: **Analyst Growth**

Go

BOTTOM OF PAGE

Open Orders

Order Date [Action]	Status	Order#	Account FOLIO	Trade Type	Trade Description
04/24/2001 Easy Buy/Sell [cancel] [modify]	Pending	0001CQ3E	Jay's Day Trader Analyst Growth	Dollar-based Window 10:00 PM 12/31/2001	Dollar Based buy: \$500 Cash \$500 Margin

Closed Orders

Date [Action]	Status	Order#	Account FOLIO	Trade Type	Trade Description
03/19/2001 Easy Buy/Sell	Cancelled	00016SAO	Jay's Day Trader Analyst Growth	Dollar-based Window Buy 10:00 PM 03/20/2001	Buy: \$50.00